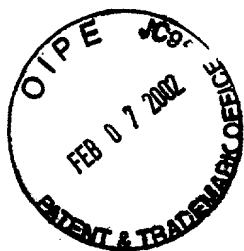


ATTORNEY'S DOCKET NO.  
PROS 1100-1

COPY OF PAPERS  
ORIGINALLY FILED

PATENT APPLICATION  
CUSTOMER NO. 25094



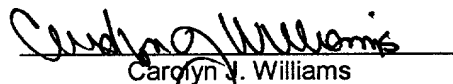
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Ronald F. Woestemeyer, et al.  
Serial No. 09/919,385  
Filing Date: July 31, 2001  
Group Art Unit: 2161  
Examiner: Unknown  
Title: System and Method for Analyzing Transaction  
in an Electronic Exchange

Honorable Asst. Commissioner  
For Patents  
Washington, D.C. 20231

**Certification Under 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box: Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231, on November 8, 2001.

  
Carolyn J. Williams

Dear Sir:

**PRELIMINARY AMENDMENT**

This preliminary amendment is filed in regard to United States Patent Application Serial No. 09/919,385 entitled "System and Method for Analyzing Transaction in an Electronic Exchange," filed July 31, 2001, which claims priority to provisional patent application Serial No. 60/222,534 filed August 2, 2000. Please enter this preliminary amendment prior to examination of the continuation application. Please amend the Application as follows:

**IN THE SPECIFICATION:**

A marked up copy of the amended paragraphs is attached hereto as "Appendix I."  
Please replace paragraphs [0014] and [0038] with the following paragraphs:

[0014] FIGUREs 3A-3C show an entity relationship diagram for an embodiment of a system for analyzing transactions at an electronic exchange according to the present invention.

[0038] Referring now to Figures 3A-3C, one example of an entity relationship diagram 300 is shown for one embodiment of a system 100 for analyzing transactions in an electronic exchange according to the present invention. It should be noted that Figures 3A-3C present different portions of the same entity relationship diagram and are related as illustrated in the Figures. Actual transactions that occur at the electronic exchange can be represented by raw transaction entity 305. These transactions can be recorded and placed in a format that is usable by market analysis system 110. The recorded transactions can be represented by market transaction entity 310. The market transaction entity 310 can include a transaction type (e.g., whether the transaction was a purchase, a request for a quote or an auction bid) and a transaction date. Additionally, market transaction entity 310 can include an RFQ number if the transaction is a request for quote to identify the transaction from other requests for quotes. Market transaction entity 310 can also include an auction number, supplier identification, the transaction price and a transaction quantity.

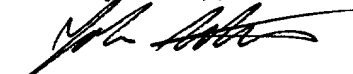
IN THE DRAWINGS:

The Applicant respectfully requests that the Examiner approve the separation of Figure 3 into Figures 3A-3C. As illustrated in the Figures, Figure 3A represents the leftmost portion of previous Figure 3, Figure 3B represents the center portion of previous Figure 3 and Figure 3C represents the rightmost portion of previous Figure 3. Thus, previous Figure 3 has simply been divided into three separate Figures, but no new matter has been entered. Therefore the Applicants respectfully request the Examiner approve Figures 3A-3C. A marked up copy of Figure 3 and clean copies of Figures 3A-3C have been submitted under separate letter to the official draftsman. Additionally, minor changes to reference characters have been made to Figure 1. More particularly, potential purchasers 101, suppliers 103 and supplier 107 have been indicated. Paragraph [0018] of the application as originally filed clearly references potential purchasers 101 and suppliers 103, while paragraph [0019] of the application as originally filed clearly references supplier 107. Therefore, no new matter has been added. Accordingly, Applicants respectfully request that the Examiner approve the changes to Figure 1. A clean

copy of Figure 1 incorporating these changes is submitted under separate letter to the official draftsperson.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH  
Attorneys for Applicants



John L. Adair  
Reg. No. 48,828

November 8, 2001

1221 South MoPac Expressway  
Suite 400  
Austin, Texas 78746-4875  
(512) 457-7142  
(512) 457-7001 (facsimile)

004020 159567660

APPENDIX I

SPECIFICATION:

[0014] FIGUREs 3A-3C show[s] an entity relationship diagram for an embodiment of a system for analyzing transactions at an electronic exchange according to the present invention.

[0038] Referring now to Figures 3A-3C, one example of an entity relationship diagram 300 is shown for one embodiment of a system 100 for analyzing transactions in an electronic exchange according to the present invention. **It should be noted that Figures 3A-3C present different portions of the same example entity relationship diagram and are related as illustrated in the Figures.** Actual transactions that occur at the electronic exchange can be represented by raw transaction entity 305. These transactions can be recorded and placed in a format that is usable by market analysis system 110. The recorded transactions can be represented by market transaction entity 310. The market transaction entity 310 can include a transaction type (e.g., whether the transaction was a purchase, a request for a quote or an auction bid) and a transaction date. Additionally, market transaction entity 310 can include an RFQ number if the transaction is a request for quote to identify the transaction from other requests for quotes. Market transaction entity 310 can also include an auction number, supplier identification, the transaction price and a transaction quantity.